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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	Not Yet Assigned
				Filing Date	
				First Named Inventor	Tomoyuki Asano
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	SONYJP-151

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	A	JP-11-224461-A	08-17-1999	Sony Corporation		**
	B	JP-11-187013-A	07-09-1999	IBM Japan Ltd		**
	C	EP-789361-A2	08-13-1997	Matsushita Electric Ind.Co.		✓
	D	JP-11-250570-A	09-17-1999	Matsushita Electric Ind.Co.		**
	E	JP-11-126425-A	05-11-1999	Sony Corporation		**
	F	JP-10-3256-A	01-06-1998	Sony Corporation		**

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	G	WALDVOGEL, M., et al., "The VersaKey Framework: Versatile Group Key Management", IEEE Journal on Selected Areas in Communications, September 1999, Vol. 17, No. 9, pages 1614 to 1631, especially pages 1616 to 1621	✓
	H	WONG, C. K. et al., "Secure Group Communications Using Key Graphs. In: Proceedings of ACM SIGCOMM'98, (1998), pages 68 to 79, especially , 3.4 Leaving a tree key graph ( <a href="http://www.acm.org/sigcomm/sigcomm98/tp/technical.html">http://www.acm.org/sigcomm/sigcomm98/tp/technical.html</a> )	✓
	I	5C Digital Transmission Content Protection White Paper Revision 1.0, (1998), pages 3, 11, 12, ( <a href="http://www.dtcp.com">http://www.dtcp.com</a> )	✓
	J	Makoto TATEBAYASHI, et al., "Kiroku Mdia no Contents Hogo System", 2000 nen Denshi Joho Tsushin Gakkai Kiso Kyoukai Society Taikai Koen Ronbunshuu, 07 September, 2000 (07.09.00), pages 367 to 368	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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\*\*with English Abstract Only

09/980272

SC03 Rec'd PCT/PTO

30 NOV 2001

Express Mail Label No. EL651341416US Dated: November 30, 2001

Docket No.: SONYJP-151  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Tomoyuki Asano et al.

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Examiner: Not Yet Assigned

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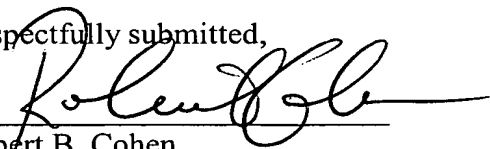
Dear Sir:

It is respectfully requested that the references listed on the enclosed Form PTO-1449 be made of record and considered with respect to the above-referenced U.S. patent application. A copy of each reference is enclosed. These references were cited in the background section of the present specification and/or a corresponding International Search Report, a copy of which is enclosed. Submission of the present Information Disclosure Statement should not be taken as an admission that the cited references are legally available prior art or that the same are pertinent or material.

In the event that any fee is due in connection with the present Information Disclosure Statement, the Commissioner is hereby authorized to charge the same to our Deposit Account No. 12-1095.

Dated: November 30, 2001

Respectfully submitted,

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